

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 5077-000222/NP U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/306311
INTERNATIONAL APPLICATION NO. PCT/JP03/13805	INTERNATIONAL FILING DATE 28 October 2003 (28.10.2003)	PRIORITY DATE CLAIMED 07 November 2002 (7.11.2002)
TITLE OF INVENTION PERSONAL AUTHENTICATION METHOD, IRIS REGISTRATION DEVICE, IRIS AUTHENTICATION DEVICE, AND PERSONAL AUTHENTICATION PROGRAM		
APPLICANT(S) FOR DO/EO/US KONDO, Kenji, et al.		

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

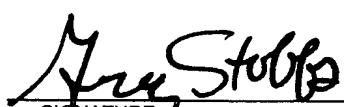
1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: **See Attachment 1**

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 1.5em; font-weight: bold;">10/506311</div>		INTERNATIONAL APPLICATION NO. PCT/JP03/13805		ATTORNEY'S DOCKET NUMBER 5077-000222/NP					
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1080.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 10%;">CALCULATIONS</th> <th style="width: 10%;">PTO USE ONLY</th> </tr> <tr> <td style="height: 100px; vertical-align: bottom;">\$ 920.00</td> <td></td> </tr> </table>		CALCULATIONS	PTO USE ONLY	\$ 920.00	
CALCULATIONS	PTO USE ONLY								
\$ 920.00									
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 0.00					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE						
Total claims	17 - 20 =	0	X \$18.00	\$ 0.00					
Independent claims	5 - 3 =	2	X \$86.00	\$ 172.00					
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$290.00 \$ 0.00					
TOTAL OF ABOVE CALCULATIONS =				\$ 1,092.00					
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00					
SUBTOTAL =				\$ 1,092.00					
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00					
TOTAL NATIONAL FEE =				\$ 1,092.00					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 40.00					
TOTAL FEES ENCLOSED =				\$ 1,132.00					
				Amount to be refunded: \$					
				Amount to be charged: \$					
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,132.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>08-0750</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.									
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.									
SEND ALL CORRESPONDENCE TO: Gregory A. STOBBS Harness, Dickey & Pierce, PLC P.O. Box 828 Bloomfield Hills, MI 48303 USA									
				 SIGNATURE Gregory A. STOBBS NAME 28,764 REGISTRATION NUMBER					

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Express Mail No.: EV 533 143 915 US
Date of Deposit: 01 September 2004

Application No.: Not yet assigned – 371 of PCT/JP03/13805

International
Filing Date: 28 October 2003

Applicant: Kenji KONDO, et al.

Title: PERSONAL AUTHENTICATION METHOD, IRIS
REGISTRATION DEVICE, IRIS AUTHENTICATION
DEVICE, AND PERSONAL AUTHENTICATION
PROGRAM

Attorney Docket: 5077-000222/NP

Mail Stop PCT
Commissioner for Patents
P. O. Box 1450
Alexandria, Virginia 22313-1450

EXPRESS MAIL TRANSMITTAL

The following papers are being deposited with the United States Postal Service Express Mail Post Office To Addressee on 01 September 2004 and addressed for receipt by the United States Patent and Trademark Office:

1. Express Mail Transmittal (Label No. EV 533 143 915 US);
2. Check in the amount of \$1,132.00;
3. Transmittal Letter to the US Designated/Elected Office Concerning a Filing Under 35 USC 371 (3 pages, in duplicate);
4. Application Data Sheet (3 pages);
5. English Translation of International Application (58 pages);
6. Formal Drawings showing Figs. 1-29 (26 pages);
7. Signed Declaration and Power of Attorney (4 pages);
8. Assignment Recordation Cover Sheet and Assignment (3 pages);
9. Information Disclosure Statement; IDS Form 1449; Copy of International Search Report; Copies of 3 foreign references not on Int'l Search Report
10. Copy of PCT/IB/308 for PCT/JP03/13805; and
11. Return Postcard.

HARNESS, DICKEY & PIERCE, P.L.C.
P.O. Box 828
Bloomfield Hills, Michigan 48303
(248) 641-1600


Valeri L. Mangindin

10/506311

DT09 Rec'd PCT/PTO 0 1 SEP 2004

Addendum

Attachment 1

Return Postcard; Express Mail Certificate No. EV 533 143 915 US; IDS Form 1449; Copy of International Search Report for PCT/JP03/13805; Copies of 3 Foreign References not on Int'l Search Report; Copy of PCT/IB/308 for PCT/JP03/13805; 26 Sheets of Formal Drawings (showing Figs. 1-29)